



Substitute for form 1449A/PTO

**SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT BY
APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

3

Complete if Known

Application Number	10/707,491
Filing Date	December 17, 2003
First Named Inventor	JONES, Emerson P.
Group Art Unit	3622
Examiner Name	Not yet assigned
Attorney Docket Number	G08.069

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
M	1	ABN-AMRO HYPA, "...an equity-linked financial product available to Australian inventors", 4pgs.	
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Examiner
Signature

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7/24/05

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	12	Metcalfe, Steve, Article - "The Mandatory Misconception", Euroweek, April 25, 2003, Issue 800, p23, 1p, 5pgs.		
	13	Doherty, Neil A., "Creating Value Through Managing Corporate Risk: Insurance, Financial Products and Financial Strategies", 22pgs.		
	14	Flannery, Mark J., "No Pain, No Gain? Effecting Market Discipline via "Reverse Convertible Debentures", November 2002, Graduate School of Business Administration, University of Florida, 32pgs.		
	15	Sherwood, Robert J. and Walter, S. Lee, "A Review and Comparison of Investment Methods for New Business Ventures", A White Paper, ©2002 Berberick Sherwood & Associates, 26pgs.		
	16	Boczar, Thomas J., Esq., "Conceptualizing & Implementing A Stock Concentration Risk Management Program", [online] Twenty-First Securities Corporation, Trusts & Investments, November/December 1998, [retrieved on 2004-02-04]. 7pgs.		
	17	"Lecture 10: Structured Notes and Hybrid Securities", Structured Finance & ART (Culp), Bus351152-81, Autumn 2003, 26pgs.		
<i>M</i>	18	Brennan, Michael J. and Schwartz, Eduardo S., "The Case for Convertibles", Journal of Applied Corporate Finance, University of California, pp. 55-64.		

Examiner Signature	<i>M. Lewis</i>	Date Considered	7/28/05
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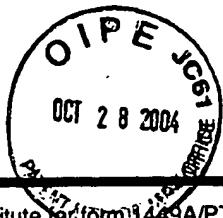
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	23	Chen, Andrew H.Y., Chen, K.C. and Howell, Scott, "An Analysis of Dividend Enhanced Convertible Stocks", International Review of Economics and Finance, Vol. 8, 1999, pp. 327-338.		
	24	Das, Satyajit, "Structured Products & Hybrid Securities", John Wiley & Sons (Asia) Pte Ltd., 2001, pp. 401-508.		
<i>M</i>	25	Arzac, R. Enrique, "PERCS, DECS, and Other Mandatory Convertibles", Bank of America, Journal of Applied Corporate Finance, Vol. 10, 1, 1997, pp. 54-63.		

Examiner Signature	<i>A. Chen</i>	Date Considered	<i>7/28/05</i>
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Express Mail Label No.: EL963889361US
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Attorney Docket No.: G08.069

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Group Art Unit	3628
Examiner Name	Chencinski, Siegfried E.
Attorney Docket Number	G08.069

U.S. PATENT DOCUMENTS

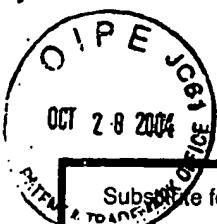
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A	5,758,097		Debe et al.	05/26/1998	
	B	5,946,667		Tull et al.	08/31/1999	
	C	6,263,321		Daugherty, III	07/17/2001	
	D	6,381,585		Maples et al.	04/30/2002	
	E	2001/0056392	A1	Daugherty, III	12/27/2001	
	F	2003/0093375	A1	Green et al.	05/15/2003	
	G	2003/0130941	A1	Birle et al.	07/10/2003	
	H	2003/0135436	A1	Birle et al.	07/17/2003	
	I	2003/0135446	A1	Birle et al.	07/17/2003	
	J	2003/0225656	A1	Aberman et al.	12/04/2003	
	K	2004/0006520	A1	Birle et al.	01/08/2004	

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